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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application TRADMARK OFFICE  
Applicant: Thomas, Lawrence J.

Serial No.: 09/845,511

Filed: April 30, 2001

Entitled: PLASMID-BASED VACCINE FOR  
TREATING ATHEROSCLEROSIS

Attorney Docket No.: TCS-414.2P US-1

Examiner: not yet assigned

Art Unit: 1614

Assistant Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 AND 1.98

Dear Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicants submit this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office. A listing of the cited documents is also enclosed, as well as, for the Examiner's convenience, copies of the documents in the list. Pursuant to 37 C.F.R. § 1.97(b)(3), because this Statement is being submitted before the first Office Action on the merits, no fee is required.

**US Patents**

US 5,242,687; issue date 07 September 1993; Tykocinskli et al.

US 5,338,829; issue date 16 August 1994; Weiner et al.

US 5,705,388; issue date 06 January 1998; Couture et al.

**Foreign Patent Applications**

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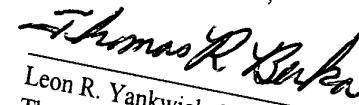
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Applicants do not intend to represent that any of the documents submitted herein is material prior art to this invention or that the list represents an exhaustive search of documents related to this invention.

Applicants respectfully request that the documents submitted herein be considered and made of record in this application.

Respectfully submitted,



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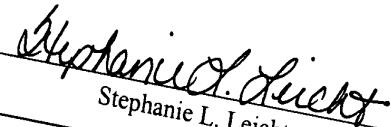
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Modified FORM PTO-1449	ATTY. DOCKET NO.	SERIAL NO.
	TCS-414.2P US-1	09/845,511
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISLOSURE STATEMENT (Use several sheets if necessary)	APPLICANT	
	Thomas, Lawrence J.	
	FILING DATE	GROUP
	April 30, 2001	(not yet assigned)

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	US 5,242,687	09/07/93	Tykocinskli et al.			
AB	US 5,338,829	08/16/94	Weiner et al.			
AC	US 5,705,388	01/06/98	Couture et al.			

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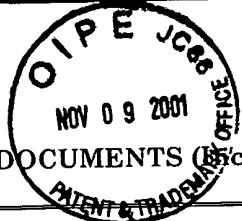
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AD	EP 0 343 460 A2	11/29/89		C07K	7/08	
AE	WO 90/15627	12/27/90		A61K	47/48	
AF	WO 92/10203	06/25/92		A61K	37/22	
AG	WO 93/11782	06/24/93		A61K	37/00	
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AN	Aitken et al., <i>Brit. Med. Bull.</i> , 49: 88 - 99 (1993)
AO	Albers et al., <i>Arteriosclerosis</i> , 4: 49-58 (1984)
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AS	Bisgaier et al., <i>J. Lipid Res.</i> , 34: 1625-1634 (1991)	
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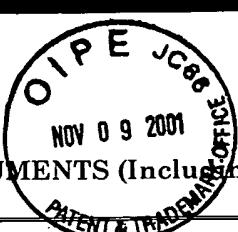
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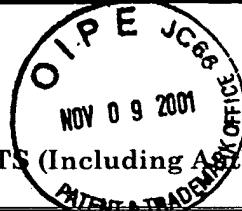


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	CV	Pruitt et al., <i>Transplantation</i> , 52: 868-873 (1991)		
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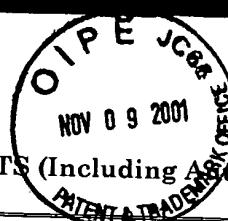
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	<b>CY</b>	Quinet et al., <i>J. Clin. Invest.</i> , 85: 357-363 (1990)	✓
	<b>CZ</b>	Raju et al., <i>Eur. J. Immunol.</i> , 25: 3207-3214 (1995)	✓
	<b>DA</b>	Roy, et al., <i>J. Lipid Res.</i> , 37: 22 - 34 (1996)	
	<b>DB</b>	Rye et al., <i>J. Biol. Chem.</i> , 270: 189-196 (1995)	✓
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	<b>DE</b>	Suckling, <i>Bio/Technology</i> , 12: 1379-1380 (1994)	✓
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	<b>DH</b>	Tall, <i>J. Lipid Res.</i> , 34: 1255-1274 (1993)	✓
	<b>DI</b>	Tall, <i>J. Clin. Invest.</i> , 89: 379-384 (1990)	✓
	<b>DJ</b>	Tall, <i>J. Internal Med.</i> , 237: 5-12 (1995)	✓
	<b>DK</b>	Talwar et al., <i>Proc. Natl. Acad. Sci. USA</i> , 91: 8532-8536 (1994)	✓
	<b>DL</b>	Tam, <i>Proc. Natl. Acad. Sci.</i> , USA, 85: 5409-5413 (1988)	✓
	<b>DM</b>	Tao et al., <i>Nature</i> , 362: 755-758 (1993)	✓
	<b>DN</b>	Tato et al., <i>Arterioscler. Thromb. Vascular Biol.</i> , 15: 112-120 (1995)	✓
	<b>DO</b>	The Merck Manual of Diagnosis and Therapy, 16 <sup>th</sup> ed., (Merck & Company Inc., Rahway, New Jersey, 1992), pp. 22-23 (referring to infection prevention), pp. 114-115 (referring to bacterial diseases), pp. 1944-1947 (referring to health management of neonates, infants, and children).	✓
	<b>DP</b>	Travis, <i>Science</i> , 262: 1974-1975 (1993)	✓
	<b>DQ</b>	Valmori et al., <i>J. Immunol.</i> , 149: 717-721 (1992)	✓
EXAMINER		DATE CONSIDERED	

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609.  
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	DR	Wang et al., <i>J. Biol. Chem.</i> , 270: 612-618 (1995)	RECEIVED JAN 08 2002 USPTO CENTER 1600/2900
	DS	Wang et al., <i>Science</i> , 254: 285-288 (1991)	
	DT	Wang et al., <i>J. Biol. Chem.</i> , 268: 1955-1959 (1993)	
	DU	Wang et al., <i>J. Biol. Chem.</i> , 267: 17487-17490 (1992)	
	DV	Watanabe et al., <i>Proc. Natl. Acad. Sci. USA</i> , 89: 5103-5107 (1992)	
	DW	Watson et al., <u>Molecular Biology of the Gene</u> , 4 <sup>th</sup> ed., (The Benjamin/Cummings Publishing Company, Inc., Melo Park, CA., 1987) page 836	
	DX	Wedrychowski et al., <i>Biotechnology</i> , 11(4): 486-489 (1993)	
	DY	Weisman et al., <i>Science</i> , 249: 146-151 (1990)	
	DZ	Whitlock et al., <i>J. Clin. Invest.</i> , 84:129-137 (1989)	
	EA	Yeh et al., <i>J. Immunol.</i> , 146: 250-256 (1991)	
	EB	Yen et al., <i>J. Clin. Invest.</i> , 83: 2018-2024 (1989)	
	EC	Zannis et al., "Genetic mutations affecting human lipoproteins, their receptors, and their enzymes", <u>Advances in Human Genetics</u> , Vol. 21, pp. 145-319 (Plenum Press, New York, NY., 1993)	
	ED	Zegers et al., <i>Eur. J. Immunol.</i> , 23: 630-634 (1993)	
	EE	Zhang et al., <i>Cell</i> , 1: 751-761 (1994)	
EXAMINER		DATE CONSIDERED	

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